

Initial Processing – Case Creation: Appeals

FDPS 4.0

Agenda

Topics Covered for Appeals

- Creating an Appeal Reference
- Closing an Appeal Reference
- Opening a Remanded Appeal

Initial Process: Appeal References and Appeals

- **Appeal Reference** – indicator that is inextricably linked to the pertinent FOIPA case.
- **Appeal** – a FOIPA case that has been re-opened in response to an OIP remand.

Initial Process: Creating an Appeal Reference

1. Access FOIPA case through Retrieval Search
2. Click on **ADD APPEAL REFERENCE** icon

The screenshot displays the Highview FOPIS Case system interface. At the top, the title bar reads 'Highview FOPIS Case' and 'Case ID: 1170693'. Below the title bar is a toolbar with various icons. A menu bar contains the following options: Case Summary, Status, Expedite, Fee Waiver, Case Searches, Case Files, Documents, Work Items, Releases, Case Fees, and History. The main form area is divided into several sections. The 'Case' section includes fields for Type (FOIA), Sub Type (Reopen), Sub Sub Type, FOI/PA #, Requester Type, Requested Media (CD), Case Size, Max Cost (0), Received (05-23-2012), and By. The 'Subject' section includes Description, Sub Description, Type (Individual), and Category (General Privacy Act Request). The 'Requester' section includes Type (Individual), Name, Primary Analyst, and Secondary Analyst. The 'Originating Offices' section includes a list of offices (HQ - FBI Headquarters, AA - Ankara, AC - Accra, AD - Abu Dhabi, AG - Algiers, AH - Athens, AL - Albany, AM - Amman, AN - Anchorage) and a 'Selected' list (FBI Headquarters). The 'Negotiations' section includes To, From, Date (05-23-2012), and buttons for Add and Remove. A red arrow points from the 'ADD APPEAL REFERENCE' icon in the toolbar to the 'Add Appeal Reference' button in the Negotiations section.

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Initial Process: Creating an Appeal Reference

3. Enter APPEAL NUMBER (this is found in OIP's appeal letter).
4. Enter Status, which will most likely be "OPEN" at the initial entry stage.
5. Click **SAVE** and exit out the **GREEN DOOR**.

Appeal Record

Appeal Reference

Appeal # 201212345

Status OPEN

Disposition

Receive Date 05-23-2012

Created Date 05-23-2012

Status Date 05-23-2012

Adjudicated Date 05-23-2012

Modified Date

Modified By: User Name goes here

Assigned Date 05-23-2012

Assigned To: User Name goes here

Closed Date 05-23-2012

Closed By: User Name goes here

Attorney Name

Case Information

FOIPA#

Receive Date 05-23-2012

Created Date 05-23-2012

Subject Description

Sub-Description

Subject Type Individual

Subject Category General Privacy Act Request

Case Type FOIA

Sub-Type Reopen

Sub-Sub-Type

Case Status

Case Processed

Closed Reason

Reopen Reason Payment Received

Suspend Reason

Closed Date

Reopen Date 05-23-2012

Suspend Date

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Initial Process: Appeal Reference

○ The appeal reference can be accessed and modified from either the **STATUS** tab of a request or from the **APPEAL REFERENCE** folder.

○ The **STATUS** tab of a FOIPA case will also indicate that there is an appeal pending for the case.

○ If you have the **APPEAL REFERENCE** folder, you will be able to see the appeal reference from the folder.

The screenshot displays the IIP software interface. The top window shows a folder tree with 'Appeal Reference' selected. The bottom window shows a detailed case summary form for Case ID 1331499.

Case Summary Form Fields:

- Current Status:** Out of Workflow
- Updated:** 01-06-2011 By: [Redacted]
- Disposition:** Closed
- Other Desc:** No Records
- On:** 01-06-2011 By: [Redacted]
- Reason:** [Redacted]
- Un:** 05-07-2012 By: [Redacted]
- Suspension Reason:** [Redacted]
- Deadline:** 05-07-2012
- Processed Under:** [Redacted]
- Info Flags:**
 - Compassionate Inquiry: [Redacted]
 - Expedite: [Redacted]
 - Fee Waiver: [Redacted]
 - Negotiated: [Redacted]
 - No Record: [Redacted]
 - Non-Imported Media: [Redacted]
- Expiry:** Actual: 0 Reviewed: 0 Released: 0
- Perfected Date:** [Redacted] By: [Redacted]
- Assigned Backing Date:** [Redacted] By: [Redacted]
- Assigned FOIPA Date:** [Redacted] By: [Redacted]
- IT Control Panel:** Direct Assign User: [Redacted]

Appeal Reference Table:

Status	Date	Status	Appeal Number	Attorney	Date Recd	Assigned To
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]

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Initial Process: Closing an Appeal Reference

- At the time OIP has resolved the appeal, the appeal reference will be closed in the system.
- Depending on the decision that is made by OIP will determine if an Appeal is opened subsequent to the Appeal Reference.

Initial Process: Closing an Appeal Reference

1. Access the Appeal Reference from the **STATUS** Tab of the FOIPA case and double click the Appeal Reference from the bottom window.

HighView FOIPA Case [Redacted] Case ID: 1131429

Case Summary | Status | Expedite | Fee Waiver | Case Searches | Case Files | Documents | Work Items | Releases | Case Fees | History

Current Status: Out of Workflow
 Updated: 11-06-2011 By: [Redacted]
 Disposition: Closed

Closed Reason: No Records
 Other Desc: [Redacted]
 On: 01-06-2011 By: [Redacted]

Reopened Reason: [Redacted]
 On: 05-25-2011 By: [Redacted]

Suspension Reason: [Redacted]
 Deadline: 05-23-2012
 Processed Under: [Redacted]

Info Flags: Congressional Inquiry, Expedite, Fee Waiver, Negotiated, No Record, Non-Imported Media
 Info Flag Applied: [Redacted]

Pages: Actual: 0 Reviewed: 0 Released: 0
 Perfected Date: 05-23-2012 By: [Redacted]
 Assigned Backlog Date: 05-23-2012 By: [Redacted]
 Assigned FOIPA Date: 05-23-2012 By: [Redacted]
☐ Direct Assign ☐ Direct Assign User

Appeal Reference	Status	Date	Appeal Number	Attorney	Date Recd	Assigned To
00000000	0000	00000000	[Redacted]	[Redacted]	00000000	

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Initial Process: Closing an Appeal Reference

2. Change status to **CLOSED**
3. Select **DISPOSITION** (Affirmed, Remand, Administrative, DRC Review, etc.); **ASSIGNED USER** and **ADJUDICATION DATE**
4. Enter name of OIP Attorney
5. Click **SAVE** and exit out the **GREEN DOOR**

Appeal Record

Appeal | History

Appeal Reference

Created Date: 05-03-2013 Modified Date: Modified By:

Appeal #: 2013-6543 (e.g. AP/PA/Ann) Receive Date: 05-03-2013

Status: Closed Status Date: 05-03-2013

Disposition: Remanded (FOI/PA Process) Adjudicated Date: 05-03-2013

Assigned User: Assigned Date: 05-03-2013

Closed Date: 05-03-2013 Closed By:

Attorney Name:

Case Information

FOI/PA #: Receive Date: 05-03-2013 Created Date: 05-03-2013

Subject Description:

Sub-Description:

Subject Type: Individual Subject Category:

Case Type: FOIA Sub-Type: Standard

Sub Sub-Type:

Case Status: Case Processed:

Closed Reason: Closed Date:

Reopen Reason: Reopen Date:

Suspend Reason: Suspend Date:

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Initial Process: Creating a Remanded Appeal

- For closings that do not require further action (affirm, administrative, etc.), the appeal reference will now be closed and disappear from the Appeal Reference folder.
- For Remand or DRC review closings, an “Appeal” must be opened.

Initial Process: Creating a Remanded Appeal

1. When closing the appeal reference as **REMANDED**, you will be prompted to create an appeal case the second you click the **SAVE** icon. *You will also have to select an **ASSIGNED USER**.*

2. Click **YES**

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Appeal Record

Appeal | History

Appeal Reference

Created Date	05-03-2013	Modified Date		Modified By	
Appeal # *	2013-6543	(e.g. AP / PA / Mark)	Receive Date *	<input checked="" type="checkbox"/> 05-03-2013	
Status *	Closed		Status Date	<input checked="" type="checkbox"/> 05-03-2013	
Disposition	Remanded (FOI/PA Process)		Adjudicated Date	<input checked="" type="checkbox"/> 05-03-2013	
Assigned User			Assigned Date	<input checked="" type="checkbox"/> 05-03-2013	
Closed Date	<input checked="" type="checkbox"/> 05-03-2013		Closed By		
Attorney Name					

Case Information

FOI/PA #		Receive Date	05-03-2013	Created Date	05-03-2013
Subject Description					
Sub-Description					
Subject Type	Individual	Subject Category			
Case Type	FOIA				
Sub Sub-Type					
Case Status					
Closed Reason					
Reopen Reason					
Suspend Reason					
		Closed Date		Reopen Date	
				Suspend Date	

Appeal Remanded.
Do you wish to close and create appeal case?

Yes No

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Initial Process: Creating a Remanded Appeal

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3. Clicking YES *automatically* transports you to CASE CREATION
4. Important fields will auto-populate! Ensure that Case Type shows **APPEAL**, Sub-Type is filled out, and that the **APPEAL INFORMATION** box has correctly populated.

The screenshot shows a 'Case Creation' window with the following fields and sections:

- Case Type:** Type: Appeal (dropdown), Sub-Type: (empty), Sub Sub-Type: (empty)
- Appeal Information:** Previous FOIPA #: [redacted], Appeal #: [redacted]
- General Case Details:**
 - Receive Date: 05-23-2012 (dropdown)
 - Release Type*: (dropdown)
 - Max Cost (\$)*: (empty)
 - Originated Office*: List box containing HQ - FBI Headquarters, AA - Ankara, AC - Accra, AD - Abu Dhabi, AG - Algiers, AH - Athens, AL - Albany, AM - Amman, AN - Anchorage. Buttons: Add >>, << Remove.
 - Selected Orig Office*: (empty box)
 - Information Flags: List box containing Congressional Inquiry, Expedite, Fee Waiver, No Record, Non-Imported Media. Buttons: Add >>, << Remove.
 - Selected Info Flags: (empty box)
- Buttons:** Reset, Cancel, Continue

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Initial Process: Creating a Remanded Appeal

5. Enter all required General Case Details; **Sub-Type; Originating Office; Release Type; Max Cost** (If applicable-also enter any *Information Flags*)
6. Click **CONTINUE**
7. You will be notified that the appeal has been created. This means the FOIPA case is re-opened.
8. Click **OK** and scan in OIP adjudication letter.

Case: [redacted] | [redacted]

General Case

Case Type

Type: Appeal

Sub-Type: [redacted]

Sub Sub-Type: [redacted]

Appeal Information

Previous FOIPA #: [redacted] - 1

Appeal #: [redacted]

General Case Details

Receive Date: 05-23-2012

Release Type*: CD

Max Cost (\$)*: 100

Originated Office*

- AA - Ankara
- AC - Accra
- AD - Abu Dhabi
- AG - Algiers
- AH - Athens
- AL - Albany
- AM - Amman
- AN - Anchorage
- AQ - Albuquerque

Add >>

<< Remove

Selected Orig Office*

HQ - FBI Headquarter

Information Flags

- Congressional Inquiry
- Expedite
- Fee Waiver
- No Record
- Non-Imported Media

Add >>

<< Remove

Selected Info Flags


Case Created


Case [redacted] has successfully created. Please load the request letter onto the scanner.

OK

Reset Cancel Continue

Initial Processing – Appeals

- Newly-opened appeals do not receive a new extension (i.e. they do not become -001, etc.).
- Newly-opened appeals go to the “GC IPU Work” queue and will have an  in front of the case number

Case Number	Case Type	Received Date	Subject
1 	AP	2013-05-03	

- Appeals are extremely important. The new system streamlines processing and minimizes the possibility of errors.

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